

## FY 1999 COAST GUARD PERFORMANCE PLAN

### INTRODUCTION

The Coast Guard delivers a broad range of services that provide immense benefits to America. These services greatly enhance national security and quality of life by improving the nation's economic vitality, maintaining law and order, ensuring safe and efficient maritime transportation, protecting natural resources, and contributing to citizen morale and confidence. The multi-missioned character of the Coast Guard provides a unique national resource that strives to live up to its motto, "Semper Paratus - Always Ready" - in accomplishing its missions. With its operating fleet of ships, aircraft, boats, shore facilities, communications networks, and professional personnel, the Coast Guard is a flexible force ready to respond in any national emergency. Yet everyday, its capital equipment and personnel are productively employed in delivering services to the public. U.S. taxpayers receive a double benefit: an effective defense force and crisis-response provider, as well as a cost-effective service that enhances national security and delivers vital services in its daily operations.

### MISSION

The United States Coast Guard is a multi-missioned maritime service and one of the Nation's five Armed Forces.

Our mission is to protect the public, the environment, and U.S. economic interests – in our ports and waterways, along our nation's coast, on international waters, or in any maritime region as required to support national security.

**STRATEGIC GOALS:** The Coast Guard has established a general goal for each of its major outcome areas:

**Safety:** Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing and recreational boating.

**Protection of Natural Resources:** Eliminate environmental damage and natural resource degradation associated with maritime transportation, fishing, and recreational boating.

**Mobility:** Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

**Maritime Security:** Protect our maritime borders from all intrusions by halting the flow of illegal drugs, aliens, and contraband into this country through maritime routes; preventing illegal fishing; and suppressing violations of federal law in the maritime region.

**National Defense:** Defend the nation as one of the five U.S. Armed Forces. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.

## RELATIONSHIP BETWEEN STRATEGIC GOALS AND OPERATING PROGRAMS

### COAST GUARD STRATEGIC GOALS

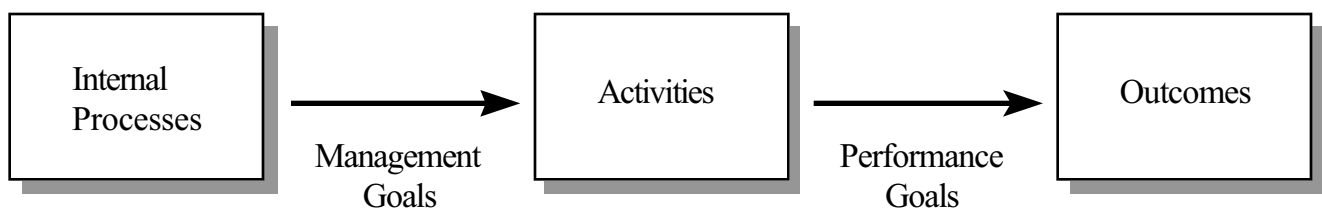
PROTECTION OF NATURAL RESOURCES		MARITIME SECURITY		NATIONAL DEFENSE	MAJOR OPERATING PROGRAMS
SAFETY	MOBILITY				
<b>P</b>	S	S	S	S	Search & Rescue
S	S	S	<b>P</b>	S	Enforcement of Laws & Treaties
S	<b>P</b>	S	S		Marine Environmental Protection
<b>P</b>	S	S	S	S	Marine Safety
S	S	<b>P</b>	S	S	Aids to Navigation
S	S	<b>P</b>		S	Ice Operations
		S	S	<b>P</b>	Defense Readiness

**P** Denotes primary program support  
**s** Denotes secondary program support

This matrix depicts the relationship between the traditional program budget structure and the GPRA performance framework. Information in the budget presents the traditional program format, but should be read in terms of the overall mission achievement through the Coast Guard Strategic Goals. The program connections are not discrete - because the Coast Guard is a multi-mission organization, a mix of program activities contributes to each of the Strategic Goals. For example, the Search and Rescue, Aids to Navigation, Marine Safety, Marine Environmental Protection, Enforcement of Laws and Treaties, and Ice Operations programs all contribute to the Coast Guard's Strategic Goal of Safety. The matrix presents a simplified view of the level of support each program contributes to the strategic outcome areas.

## HOW THE COAST GUARD WILL ACHIEVE ITS GOALS

The Coast Guard will focus on the factors most critical to meeting its goals. Twenty-four annual performance goals have been developed to measure progress toward the Strategic Goals. These goals serve to align the Coast Guard mission with customer expectations, or outcomes. The challenge is not just to achieve the Strategic Goals, but to meet them as efficiently as possible. Efficiency is pursued through internal management goals that address work force skill, technological development, and quality management. Management goals are not performance goals, but rather serve to more efficiently achieve performance goals. Efficiency through management goals is not free, however; it requires carefully planned investment to save. Establishing the appropriate strategy to guide activities, while managing for efficiency can be summed up as doing the “RIGHT THINGS RIGHT.” The Coast Guard is committed to providing the outcomes the public expects and desires in the most efficient manner possible.



**MANAGEMENT GOALS:** The Commandant of the Coast Guard has issued eight management goals to steer the Coast Guard toward fulfilling its Mission and achieving its Strategic Goals. The principles identified through these goals and further defined in the Commandant’s Direction are used in all planning, and are reflected in daily decision making.

- Goal 1: Provide leadership and a working environment to enable all of our people to reach their full potential.
- Goal 2: Place diversity in the Coast Guard at center stage.
- Goal 3: Meet the mandate to streamline with no reduction in essential services.
- Goal 4: Maintain a strong response capability; always ready as a military service to meet multi-mission requirements.
- Goal 5: Enhance and extend our reputation as the world’s premier maritime service.
- Goal 6: Engage the Coast Guard as an intermodal partner in the implementation of the DOT Strategic Plan, particularly in the areas of infrastructure, safety, and security.
- Goal 7: Ensure that the Coast Guard epitomizes the best in quality management practices and performance.
- Goal 8: Pursue and exploit new technologies to achieve gains in productivity and enhance mission performance.

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## REMARKS ON PERFORMANCE GOALS AND MEASURES

The 24 performance goals and associated measures, taken as a group, indicate whether the Coast Guard is achieving its intended results. Developing these goals and the associated measures is an evolving process. Some goals are mature, and have many years of data to support them. Other goals involve new ways of relating activities to outcomes, and will require additional measurement and refinement.

S Denotes Strategic Goal for “Safety”

P Denotes Strategic Goal for “Protection of Natural Resources”

M Denotes Strategic Goal for “Mobility”

C Denotes Strategic Goal for “Maritime Security”

N Denotes Strategic Goal for “National Defense”

Number following the above letter denotes specific goal for that respective Strategic Goal (e.g., S3)

**GOAL/MEASURE REVISIONS:** Changes made to goals and measures since the FY 1998 plan was published are summarized below:

*S1: Save at least 90% of mariners in imminent danger.* The goal target level was revised from 92% to 90% to align with the long term program standard.

*S2: Save at least 70% of property in imminent danger.* The goal target level was revised from 75% to 70% to align with the long term program standard.

*S3: Reduce the rate and severity of injuries due to maritime accidents.* The associated measure was changed to “high risk” injuries (line and rigging handling, struck by object, serious falls, asphyxiation, diving accidents, exposure, galley accidents, operating machinery.) This refinement is a better indicator of injury risk. This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*S4: Reduce the risk of passenger vessel casualty with major loss of life.* The associated measure was changed from “serious passenger vessel accidents” to “high risk vessel casualties” (allisions, capsizings, collisions, missing vessels, explosions, fires, floodings, sinkings, groundings.) This refinement is a better indicator of passenger vessel risk. This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*S6: Reduce the worker fatality rate.* This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*P1: Reduce the rate of oil and chemicals discharged into the water from maritime sources.* This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*P2: Reduce the rate of plastics and garbage discharged into the water from maritime sources.* The associated measure was changed from “pounds of debris” to “number of marine debris items” for better measurement. This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*P3: Reduce the total rate of major and medium oil spills.* This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*P4: Increase the removal rate of spilled oil.* This goal and measure is currently being reviewed for revisions and improvements which will be reflected in the FY 1999 congressional submission.

*P5: Improve fish and other living marine resource stocks.* The associated measure was changed from “NMFS management plan measures of health” to “observed compliance rate.” Measures of health hinge largely on the biological effectiveness of a management plan, and are difficult to quantify. Hence, even if the Coast Guard successfully enforces a less than optimal plan, measures of health cannot accurately gauge the Coast Guard’s performance.

*M1: Reduce sources of delay to commercial mariners.* This is a revised goal and measure based on a customer interaction survey of commercial mariners which identifies the most prevalent delays experienced, focuses Coast Guard activities on reducing these delays, and repeats the survey to measure any change. The initial survey was successfully tested in the Houston-Galveston area. Procedures for wider implementation of this concept are being developed.

*M2: Reduce impediments to recreational boater enjoyment.* This is a revised goal and measure based on a customer interaction survey of recreational boaters which identifies the most prevalent issues that prevent full enjoyment of the water, focuses Coast Guard activities on reducing these interruptions, and repeats the survey to measure any change. The initial survey was successfully tested in the Houston-Galveston area. Procedures for wider implementation of this concept are being developed.

*M3: Minimize delays to commerce caused by ice and navigation hazards.* This is a new goal and measure added to reflect the Coast Guard’s contribution to Mobility from domestic ice breaking.

*M4: Maintain the navigation season in ice-bound areas of the Great Lakes where such service is in the national interest.* This is a new goal and measure added to reflect the Coast Guard’s contribution to Mobility from domestic ice breaking.

*C1: Reduce the flow of illegal drugs by denying maritime smuggling routes as part of the interagency effort to impact the national demand level.* This goal was changed to clarify how Coast Guard efforts contribute to reducing the illegal drug supply to a level below demand.

*C2: Hold the flow of undocumented migrants entering the U.S. via maritime routes.* The goal wording has been revised to reflect the Coast Guard’s focus on maintaining the significant reductions achieved in recent years.

*N1: Achieve and sustain a military readiness rating of “C2” for CG units required by DOD.* The goal level was changed from “90%” to “C2” for better measurement. C2 is a level on a scale of overall readiness, with

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C1 being highest and C5 being lowest. Data for all applicable units must be developed.

*N3: Achieve and sustain overall capability to respond to Commanders in Chief operating plan requirements for Major Theater War.* This goal and measure was refined for clearer focus and better measurement. More data is needed to set goal target.

*N4: Protect and support Seaports of Debarkation.* This goal and measure was refined for clearer focus and better measurement. More data is needed to set goal target.

**DATA TRENDS MOVING AWAY FROM GOAL TARGETS:** In a few goals, data trends are not moving toward goal target levels. This can be caused by several factors. The Coast Guard cannot completely control outcomes; external factors can eclipse Coast Guard impact. Measurement data, or a measure itself, may be invalid, thus presenting an erroneous view of the real situation. Coast Guard activities may not be optimized to influence the outcome, and need to be refined. Below is a summary of the affected goals:

*S3: Reduce the rate and severity of injuries due to maritime accidents.* This goal employs a new measure which is still being validated. Refining the validity of injury data is an ongoing process. Many injuries go unreported, reporting thresholds vary, and more measurement is needed in the area of severity differentiation.

*S4: Reduce the risk of passenger vessel casualty with major loss of life.* Developing data that assesses level of risk is a difficult task. Major passenger vessel casualties are rare occurrences, so a relevant proxy measure must be developed.

*P4: Increase the removal rate of spilled oil.* Spill data is of questionable validity. Baseline has not been set due to disparate removal rates for shoreside and vessel spills. Furthermore, this goal does not address response efforts that mitigate spill damage, such as removing oil from disabled vessels. This goal is being re-evaluated.

**GRAPHS:** Graphs that summarize historical data are included for each performance goal. Data is displayed as bars; goal targets are shown as lines. Data bars that fall below goal lines indicate a trend toward goal achievement. Vertical arrows note the exceptions where bars above the goal line indicate a trend toward goal achievement.

**MEASUREMENT BASELINES:** Baselines have been established to facilitate measuring changes in performance. Three types of baselines are used:

- Baseline years: Performance changes are measured against a selected year of historical data. (Goals M1, M2, C1, C3, C4)
- Statistical trendline: Historical data is adjusted using a regression curve; performance is measured against a selected year of the adjusted data. Statistical baseline data points may be higher or lower than corresponding historical data points. (goals S3, S4, S5, S6, P1, P2, P3, P4)
- Program standards: Performance is measured against a long term program standard. (goals S1, S2, C2, M3, M4, N1, N2, N4)

**MEASUREMENT CONFIDENCE:** Confidence in a measure indicates the degree of certainty that measurement data accurately reflects the actual situation. Each measure is assigned a LOW, MODERATE, or HIGH confidence indicator.

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**STRATEGIC GOAL FOR SAFETY:** Eliminate deaths, injuries, and property damage associated with maritime transportation, fishing, and recreational boating.

*Items revised since the FY 1998 plan are in italics.*

**Goal S1:** Save at least 90% of mariners in imminent danger. BASELINE: FY93 91.9% (4689 saved)

**Measure:** Lives saved/lives saved + lives lost after Coast Guard notification. CONFIDENCE: high

**Goal S2:** Save at least 70% of property in imminent danger as a result of maritime accidents. BASELINE: FY93 74.2% (\$908 mil saved)

**Measure:** Value of property loss prevented/property loss prevented + value of property lost. CONFIDENCE: high

**Goal S3:** Reduce the rate and severity of injuries due to maritime accidents by X%. Baseline to be determined.

**Measure:** Number of high risk injuries / 100,000 maritime workers (interim measure, recreational boaters to be included)  
CONFIDENCE: moderate

**Goal S4:** Reduce the risk of passenger vessel casualty with major loss of life by 20% compared to FY 93 baseline of 38 casualties / 1,000 vsls.

**Measure:** *Number of "high risk" vessel casualties (fire, capsizing, flooding, collision, sinking, grounding) per 1,000 passenger vessels. CONFIDENCE: moderate*

**Goal S5:** Reduce recreational boating fatalities by 10% compared to FY93 baseline of 800 fatalities.

**Measure:** Number of fatalities (denominator of hours of exposure needs to be developed) CONFIDENCE: moderate

**Goal S6:** Reduce worker fatality rate from maritime accidents by 20% compared to FY 93 baseline of 52 fatalities / 100,000 workers

**Measure:** Fatalities per 100,000 workers. CONFIDENCE: high

**The Coast Guard influences safety by preventing accidents and providing emergency assistance in the event an accident occurs. Processes by which this is accomplished:**

- Improve the knowledge, skills, and behaviors of boaters, and improve the safety of boating equipment.
- Assure U.S. vessel compliance with domestic and international standards and compliance by all vessels and regulated facilities in U.S. ports and waters, through education, monitoring, and enforcement.
- Establish federal policies and standards for the design, construction, and operations of commercial vessels.
- Provide emergency assistance to mariners in distress.
- Provide an emergency communications network for distress notification and rescue efforts.

Coast Guard operations in support of protection of natural resources, mobility, and maritime security influence safety by providing navigation infrastructure and services, hazardous materials regulation and inspection, regulation enforcement/compliance, and accomplishing other activities as described elsewhere in this document.

**Strategies that will be used to achieve goals:**

- Focus on uninspected fishing and towing vessel safety.
- Reduce the impact human error has in accidents.



- Partner with state recreational boating safety programs, maritime industry groups, and boating organizations to improve the knowledge, skills, abilities of commercial mariners, boaters; and equipment.
- Reduce alcohol involvement in boating accidents.
- Prevent accidents through voluntary dockside fishing vessel exams and CG Auxiliary courtesy examinations.
- Integrate the efforts of public and private resources under a comprehensive waterways management concept.
- Enhance port safety by establishing public-private Vessel Traffic Service (VTS) partnerships, and implementing the Ports and Waterways Safety System (PAWSS).
- Modernize the National Distress System by using new technology to create a fully integrated communications system that will permit distress, safety, law enforcement, environmental protection, and national security communications between the Coast Guard and commercial and recreational mariners.
- Improve rescue efforts by utilizing new cutters and boats, improved radars, and communications equipment.

**Key External Factors that may affect performance:**

- Environmental and weather factors affect lives and property saved.
- Events such as mass migrations, with large numbers of people in unseaworthy craft, affect lives saved.
- Economic health of the marine industry affect injury rate and passenger vessel casualties.
- Use of maritime communications, positional, and safety equipment affects lives saved.
- Uninspected fishing vessel fleet fatalities drive overall worker fatalities.
- In some areas, declining fisheries stocks result in vessels making longer trips farther from shore, and may result in more safety risks.

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**STRATEGIC GOAL FOR PROTECTION OF NATURAL RESOURCES:** Eliminate environmental damage and natural resource degradation associated with maritime transportation, fishing, and recreational boating.

*Items revised since the FY 1998 plan are in italics. X% denotes where more data is needed to set goal target.*

**Goal P1:** Reduce the rate of oil and chemicals discharged into the water from maritime sources by 20% compared to FY93 baseline of 7.76 gals spilled / million gallons shipped.

**Measure:** Gallons spilled per million gallons shipped. CONFIDENCE: high

**Goal P2:** Reduce the rate of plastics and garbage discharged into the water from maritime sources by 20% compared to FY93 baseline of 101 items / mile shoreline.

**Measure:** *Number of marine debris items recovered per mile of shoreline surveyed. CONFIDENCE: moderate*

**Goal P3:** Reduce the total rate of major and medium oil spills by 50% compared to FY93 baseline of 17 gals spills / billion tons shipped.

**Measure:** Number of spills (over 10,000 gallons) per billion tons shipped. CONFIDENCE: moderate

**Goal P4:** Increase the removal rate of spilled oil by 10%. Rational baseline has not yet been determined due to the disparate removal rates between shoreside and vessel spills.

**Measure:** Gallons removed as a % of total gallons spilled. CONFIDENCE: low

**Goal P5:** *Improve fish and other living marine resource stocks by increasing compliance with federal regulations by X% from FY96 baseline of 95% compliance.*

**Measure:** *Observed rate of compliance with federal fisheries regulations. CONFIDENCE: high*

**Goal P6:** Reduce the loss rate of threatened or endangered species from fishing by X% from FY96 baseline of 0.9% fatality rate.

**Measure:** Fatality rate for Kemp-Ridley turtle (interim measure - more species, such as right whale, to be included.)  
CONFIDENCE: moderate

**The Coast Guard influences the quality of U.S. natural resources and the environment by promoting compliance with laws and regulations, preventing accidents, and mitigating the damage in the event an accident occurs.**

**Processes by which this is accomplished:**

- Ensure U.S. vessel compliance with domestic and international standards and compliance by all vessels and regulated facilities in U.S. ports and waters through education, monitoring, and enforcement.
- Develop standards for handling hazardous materials on board vessels and marine facilities.
- Coordinate national protocols for preparedness planning, training, and exercises.
- Direct response activities to mitigate the effects of maritime casualties and pollution.
- Promote compliance with conservation laws and regulations through education, and enforcement.

Coast Guard operations in support of safety, mobility, and maritime security influence protection of natural resources by providing navigation infrastructure and services, command, control, & communications systems, regulation enforcement/compliance, and accomplishing other activities described elsewhere in this document.

**Strategies that will be used to achieve goals:**

- Focus on the human element to prevent accidental spills.
- Focus on reducing incidents of significant interest. Major events contribute heavily to the total damage from marine transportation, and present the greatest long-term threats to program success.
- Partner with the maritime community, state/local governments, and national/international organizations.
- Continue the Sea Partners outreach program to educate the public about protecting the marine environment.
- Eliminate substandard commercial vessels from U.S. waters.
- Determine level of compliance with Fish Management Plans and share results with NMFS.
- Promote legislative changes that reduce pollution levels. Liability aspect of OPA 90 is believed to have contributed to oil spill reduction.
- Establish public-private Vessel Traffic Service (VTS) partnerships, and implement the Ports and Waterways Safety System (PAWSS).
- Increase Coast Guard presence in the maritime region by employing additional assets to encourage compliance with regulations intended for the protection and management of natural resources.
- Improve the coordination of resources and detection of vessels in the enforcement of living marine resource laws and protection of marine sanctuaries by employing improved communications and radar sensors.

**Key External Factors that may affect performance:**

- Economic factors and government actions affect regulation compliance within the shipping/fishing industries.
- Oil recovery rates may be confounded by spill location, product volatility, sea conditions, and the dynamics of weathering, evaporation, dissolution, dispersion, and emulsification.
- Content and wording of federal fisheries regulations affects ability of CG to enforce compliance.
- Environmental factors can affect the fatality rate of species. Cyclical changes in species population may distort fatality rate.

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**STRATEGIC GOAL FOR MOBILITY:** Facilitate maritime commerce and eliminate interruptions and impediments to the economical movement of goods and people, while maximizing recreational access to and enjoyment of the water.

*Items revised since the FY 1998 plan are in italics. X% denotes where more data is needed to set goal target.*

**Goal M1:** *Reduce identified sources of delay to commercial mariners by X% from FY96 baseline (see supp data.)*

**Measure:** *Prioritized profile of waterway delay sources identified by commercial mariners. CONFIDENCE: high*

**Goal M2:** *Reduce identified impediments to recreational boater enjoyment (unmarked obstacles, vessel wakes, excessive vessel speed, etc.) by X% from FY96 baseline (see supp data.)*

**Measure:** *Prioritized profile of waterway issues identified by recreational boaters as impediments to full enjoyment of the water. CONFIDENCE: high*

**Goal M3:** *Minimize delays to commerce caused by ice and navigation hazards by ensuring 90% of vessels are able to transit at 3 knots or better during average severity winters.*

**Measure:** *Percentage of vessel transits made at 3 knots or better in the St. Mary's River during the ice seasons. (Data for other Great Lakes locations to be developed.) CONFIDENCE: high*

**Goal M4:** *Maintain the navigation season in ice-bound areas of the Great Lakes where such service is in the national interest by keeping 100% of critical waterways open during average severity winters.*

**Measure:** *Percentage of critical waterways not closed for more than 2 days during the open shipping season. CONFIDENCE: high*

**The Coast Guard influences the economical movement of goods and people by providing navigation infrastructure and services for effective maritime movement of goods and people and mitigating the effects of impediments to mobility. Processes by which this is accomplished:**

- Establish/maintain maritime "rules of the road" and traffic separation schemes.
- Provide visual and electronic aids to allow vessels to safely navigate and avoid hazards.
- Manage anchorage areas, security zones, regatta permits, etc.
- Provide timely navigation information and warnings to users on the status of waterways and navigation aids, other maritime traffic in Vessel Traffic Service (VTS) areas, etc.
- Provide ice breaking services to clear waterways for the movement of goods in ice-covered waterways.
- Ensure bridges over navigable waters are properly lighted and fendered, and are not unreasonably obstructive.
- Ensure that bridge openings balance the needs of both maritime traffic under and land traffic over the bridges.
- Respond to emergency or unusual situations that present a hazard or impediment to maritime traffic in the waterway to reduce delays and increase safety.

Coast Guard operations in support of safety, protection of natural resources, and maritime security influence mobility by providing command, control, and communications systems; improving knowledge and behavior of boaters and mariners; improving the safety of boats, commercial ships, and associated equipment; assuring U.S. vessel compliance with domestic and international standards; responding to mitigate the effects of maritime accidents, enforcing regulations, and accomplishing other activities as described elsewhere in this document.

**Strategies that will be used to achieve goals:**

- Chair the Interagency Waterways Management Council which encourages joint problem-solving.

- Establish public-private Vessel Traffic Service (VTS) partnerships, and implement the Ports and Waterways Safety System (PAWSS).
- Modernize navigation infrastructure. The Coast Guard is completing the implementation of the Differential Global Positioning System (DGPS) service for marine navigation and investigating the infrastructure to support Integrated Navigation Systems (including Electronic Chart Display and Information Systems (ECDIS), DGPS, automatic electronic updates to ECDIS, etc.). Replace the aging buoy tender fleet with state-of-the-art vessels, providing essential services with less resources by leveraging technology.

**Key External Factors that may affect performance:**

- The full benefit of the ECDIS/DGPS combination cannot be realized without other contributing agencies being successful in their missions. For example, nautical charts must be resurveyed using DGPS or many of the benefits of ECDIS/DGPS will not be realized. How the U.S. Government utilizes its resources in the completion of these surveys has a significant impact on the ability of the Coast Guard to meet the performance goals for mobility.
- Some sources of delay and disruption require action by other government agencies.
- Weather influences the severity and frequency of some sources of delay and disruption. Icebreaking performance is particularly affected by ice thickness which is linked to the severity of winter weather patterns.

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**STRATEGIC GOAL FOR MARITIME SECURITY:** Protect our maritime borders from all intrusions by halting the flow of illegal drugs, aliens, and contraband into this country through maritime routes; preventing illegal fishing; and suppressing violations of federal law in the maritime region.

*Items revised since the FY 1998 plan are in italics. Boldface indicates goal levels modified by increased resources. X% denotes where more data is needed to set target goal.*

**Goal C1:** *Reduce the flow of illegal drugs by denying maritime smuggling routes as part of the interagency effort to impact the national demand level.*

- *By FY 2002, reduce the smuggler success rate from the FY 95 baseline of 71% to **38%**.*
- *By FY 2007, further reduce the smuggler success rate to **10%**.*

**Measure:** Smuggler success rate = amount entering U.S. via noncommercial maritime / potential un-deterred flow bound via noncommercial maritime. Based on data in the FEB 97 "Interagency Assessment of Cocaine Flows," reduction to a 38% smuggler success rate begins to impact the supply of cocaine transported by noncommercial maritime routes to a proportional level below the national demand level. CONFIDENCE: moderate

**Goal C2:** *Hold the flow of undocumented migrants entering the U.S. via maritime routes to no more than 13% of entry attempts. BASELINE: FY95 25% migrant success rate*

**Measure:** Migrant success rate = number of migrants entering U.S. via maritime / number bound for U.S. via maritime. CONFIDENCE: moderate

**Goal C3:** Reduce illegal encroachment of the 200 mile U.S. Exclusive Economic Zone by foreign fishing vessels by X% from FY96 baseline of 213 encroachments.

**Measure:** Number encroachments. CONFIDENCE: moderate

**Goal C4:** Reduce the vulnerability to intentional damage by bringing 100% of U.S. passenger terminals/vessels embarking in U.S. into compliance with IMO guidelines by 2000. BASELINE: FY96 78.9% compliance

**Measure:** Rate of compliance with IMO security guidelines. CONFIDENCE: high

**The Coast Guard influences the security of our maritime region by encouraging compliance, deterring illegal activities and interdicting violators. Processes by which this is accomplished:**

- Deny smugglers the use of air and maritime routes to introduce contraband or illegal migrants to the U.S.
- Interdict contraband or illegal migrants bound for the U.S. via air and maritime routes.
- Deter smugglers bound for the U.S.
- Promote compliance with conservation laws and regulations through education, and enforcement.

Coast Guard operations in support of safety, mobility, and national defense influence maritime security by providing navigation infrastructure and services, command, control, and communications systems, interservice/international contacts, and other activities as described elsewhere in this document.

**Strategies that will be used to achieve goals:**

- Continue to increase effectiveness in conjunction with other agencies under ONDCP's 10 year drug strategy in order to reduce the flow of cocaine below the domestic demand level.
- Provide relevant capabilities and skills to execute the President's Caribbean Initiative.
- Increase the Coast Guard presence in the maritime region by employing additional air and surface resources to provide

increased deterrence against smuggling drugs, illegal migrants, or other contraband, thereby reducing their flow into the U.S.

- Improve the coordination of resources and detection of vessels in the enforcement of U.S. laws and treaties by employing improved communications equipment and sensors.
- Train and equip Coast Guard boarding teams to use special drug detection equipment to test for the presence of illegal narcotics.
- Implement the Coast Guard's Deepwater project.
- Employ Maritime Counternarcotic Agreements. The Coast Guard continually seeks opportunities to enter into formal agreements with other nations that enhance U.S. and host nation ability to deter drug trafficking. Maritime counternarcotic bilateral agreements and memoranda of understanding exist with many countries in the Caribbean, and Central and South America to facilitate cooperation at sea and in the interdiction of illicit drug trafficking.
- Employ special exclusion of aliens to expedite the repatriation of interdicted migrants.

**Key External Factors that may affect performance:**

- Domestic and international socio-economic conditions influence the supply and demand of illegal drugs.
- Diplomatic relations affects the level of coordination with source countries.
- Other law enforcement agency efforts influence the amount of illegal drugs and number of illegal migrants transported via maritime routes. For example, a large pulse effort to decrease the flow across the U.S. southwest land border may cause smugglers to shift transit routes to the maritime region.
- Socio-economic and political conditions in migrant source countries drive migrants entry attempts.
- Agreements with source countries influence migrant flow. For example, aircraft overflight authority granted by Dominican Republic in 1996 probably contributed to the decrease in the Dominican migrant success rate.
- The manner in which special exclusion is implemented by the U.S. government will affect how many resource hours are saved, and how well this law deters migrants from attempting to enter the U.S.

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**STRATEGIC GOAL FOR NATIONAL DEFENSE:** Defend the nation as one of the five U.S. Armed Forces. Enhance regional stability in support of the National Security Strategy, utilizing our unique and relevant maritime capabilities.

*Items revised since the FY 1998 plan are in italics.*

**Goal N1:** *Achieve and sustain a military readiness rating of “C2” for CG units as required by DOD. BASELINE: FY96 100% of units at C2.*

**Measure:** *Average SORTS (Status of Readiness and Training System) rating for CG Port Security Units required by DOD. C1 is highest rating, C5 lowest. (Interim measure - more units to be included.) CONFIDENCE: high*

**Goal N2:** Provide core competencies (Maritime Interception Operations, Deployed Port Operations, and Environmental Defense) as requested or currently planned by CINC or DOS 100% of the time. BASELINE: FY95 100% of requests

**Measure:** Number of operations / number of requests. CONFIDENCE: high

**Goal N3:** *Achieve and sustain overall capability to respond to Commander in Chief operating plan requirements for Major Theater War (MTW) and Small Scale Contingencies (SSC). BASELINE: FY97*

**Measure:** *Profile of issues and concerns relating to CG capability requirements. CONFIDENCE: moderate*

**Goal N4:** *Protect and support 62% (8 of 13) of Seaports of Debarkation (SPOD) during MTW and SSC by FY 2002. BASELINE: FY96 23% (3 of 13) of SPODs*

**Measure:** *Number of SPODs CG can protect / number of SPODs CG required to protect. CONFIDENCE: high*

**The Coast Guard influences national defense by maintaining readiness, defending the nation, and promoting U.S. interests in accordance with U.S. National Security Strategy. Processes by which this is accomplished:**

- Ensure Coast Guard forces have the equipment and training to operate as a member of the Armed Forces.
- Plan for defense and non-defense contingency operations and conduct exercises of the plans: support the National Security Strategy through peacetime engagement, improve collective military strategies, promote democratic ideals, relieve suffering, and enhance regional stability through military to military contacts, nation assistance, security assistance, counterterrorism, and peacekeeping.
- Support U.S. objectives in any theater of operation, as required.
- Provide specialized embarkation/debarkation safety and security functions (port security, safety zones, explosives and hazardous materials handling, national port readiness network, vessel preparation.)

Coast Guard operations in support of safety, protection of natural resources, mobility, and maritime security influence national defense by providing, for example, the navigation infrastructure and services, training and expertise, command, control, and communication systems, needed to support national security operations.

**Strategies that will be used to achieve goals:**

- Implement the Coast Guard’s Deepwater project.
- Increase command, control, communications, computing, and intelligence (C4I) capability and interoperability with DOD units on USCG platforms.
- Increase the surge capacity of the Coast Guard by employing additional air and surface resources to respond to multiple national defense emergencies.
- Provide relevant capabilities and skills to execute the President’s Caribbean Initiative.

**Key External Factors that may affect performance:**

- U.S. Government reaction to increasing expectations of U.S. participation in worldwide operations other than war.



## PERFORMANCE EVALUATION

The Coast Guard continues to refine performance goal evaluation; it is an integral part of the business planning process which provides input for building the annual budget. Evaluation is employed to analyze the effectiveness and efficiency with which resources are used to attain performance goals. This information is then used to project the impact of future resource changes (increases or decreases) on outcomes.

Performance evaluation is continuously conducted at all levels. Activities are modified from this evaluation, improving Coast Guard performance. At the end of a fiscal year, program managers undertake a comprehensive evaluation of performance data, and make long-term goal revisions and strategy changes.

In cases where performance goals are not being achieved, program managers determine which contributing factors are impeding success. In order to obtain the most bang for the buck, these factors are prioritized by ease of implementation and degree of influence. Those factors which have the greatest impact on goal achievement, and are easiest to implement, are considered first. Strategies are developed to address these factors, and resource/legislative changes are formulated as necessary. The subsequent year's budget request is built around the resource changes identified.

Changes in resources and management strategies may have an immediate impact, or may take several years to influence performance. For this reason, the Coast Guard measures goal achievement over a period of several years (typically 5 years.) During this period, performance is monitored for annual changes. Midcourse corrections are instituted if necessary. At the end of the period, evaluation determines an appropriate follow-on goal. The multiyear measurement period allows managers to respond to general trends, instead of reacting to limited data that may not reflect the true performance situation.

Measurement data for each goal is verified and validated by program managers. In most cases, data is collected through existing measurement systems with established control and verification procedures; written procedures specify data collection and reporting criteria for Coast Guard field units. Some goals use data generated outside the Coast Guard by other government agencies or industry groups such as the Bureau of Labor Statistics, and the Center for Marine Conservation. The Coast Guard works closely with these sources to verify and validate data and collection methodologies. Data with low validity is noted by a low confidence indicator. These areas will be improved in future plans.

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## KEY EXTERNAL FACTORS THAT MAY AFFECT COAST GUARD PERFORMANCE

In addition to specific external factors affecting individual goals, the following factors could have a substantial, wide-ranging impact on goal achievement.

**War:** In the event that the United States enters into war or other significant national defense emergency, the Coast Guard may be directed by the President to function as a specialized service in the Navy. Goals and priorities would change significantly to align with changing national priorities.

**Natural Disasters:** Acts of nature such as hurricanes, earthquakes, flood, drought, etc., may create such destruction and havoc that achievement of agency goals may not be possible. The Coast Guard has always responded in emergency situations like these, mitigating the loss of life, damage, and disruption to commerce, but the severity of the incident and amount of advance warning will significantly impact the initial damage and injury levels. A devastating natural disaster could result in losses exceeding agency goals.

**National Emergencies:** The Coast Guard may be directed to perform certain missions in reaction to national emergencies such as the Cuba crisis, Haiti crisis, and Desert Shield/Storm. Under such circumstances, Coast Guard resources often divert from routine missions to support these emerging requirements. In some cases, goals and priorities may change significantly to align with changing national priorities. Depending upon the circumstances and duration, achievement of Coast Guard goals may be impacted.

**Catastrophic Accident:** Coast Guard actions influence the many factors that impact the probability of an accident, but cannot prevent them all. If any that do occur are especially large or catastrophic, such as the Exxon Valdez oil spill, or a liquefied natural gas carrier explosion, the results of that incident might be so significant as to preclude the Coast Guard from achieving its goals.